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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/616,573
	Filing Date	July 10, 2003
	First Named Inventor	Hung T. Du et al.
	Art Unit	2834
	Examiner Name	Thanh Lam
Total Number of Pages in This Submission	Attorney Docket Number	0275Y-000431/CPG

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> <b>Form 1449 citing 69 U.S. References, 26 Foreign Documents (Foreign Documents enclosed); and return postcard.</b>
Remarks		The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 02-2548. A duplicate copy of this sheet is enclosed.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name Roland A. Fuller III	Reg. No. 31,160
Signature			
Date	October 27, 2004		

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Andrea Blendea	Express Mail Label No.	EV 406 076 445 US (10/27/2004)
Signature		Date	October 27, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

EV 406 076 445 US



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 10/616,573  
Filing Date: July 10, 2003  
Applicant: Hung T. Du et al.  
Group Art Unit: 2834  
Examiner: Thanh Lam  
Title: Dynamoelectric Machine Having Encapsulated Coil Structure With One or More of Phase Change Additives, Insert Molded Features and Insulated Pinion  
Attorney Docket: 0275Y-000431/CPG

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Director of the United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS, AND OTHER INFORMATION

The patents, publications and other information requested to be considered by the Office (except unpublished U.S. patent applications) are listed on Form 1449 attached hereto.

II. COPIES

A. ☐ Submitted herewith is a legible copy of (i) each U.S. patent application publication and U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; (iii) for each cited pending U.S. application, the application specification including the claims, and any drawing of the application which caused it to be listed including the claims directed to that portion; and (iv) all other information or that portion which caused it to be listed.

B. ☐ Any patents, publications or other information which are listed on Form 1449 or on the copies of PTO-892, but which are not enclosed herewith, were previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

U.S. Serial Number

U.S. Filing Date

C. ☒ Because the present application was/is being filed after June 30, 2003, no copies of the U.S. patents or U.S. patent application publications which are listed on the attached Form 1449 are enclosed pursuant to the waiver of 37 C.F.R. § 1.98(a)(2)(i). Any foreign patent documents or non-patent literature listed on the attached Form 1449 are enclosed herewith.

D. ☐ This is a PCT application in the entry of the National Phase in the United States. A copy of the International Search Report is attached for the Examiner's information. The documents listed on the International Search Report are listed on the attached Form 1449 for consideration by the Examiner and for listing on any patent resulting from this application. Since the International Search report was from the US, EPO, or JPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above-identified application. (MPEP 1893.03(g).)

III. CONCISE EXPLANATION OF THE RELEVANCE (check at least one box)

A. ☒ Except as may be indicated below in (B), all of the patents, publications or other information are in the English language (concise explanation not required).

B. ☒ A concise explanation of the relevance of each patent, publication or other information listed that is not in the English language is as follows (see 37 C.F.R. § 1.98(a)(3)):

1. ☐ See the attached foreign patent office communication from a counterpart foreign application:

2. ☒ English translations or English abstracts are provided as indicated on Form-1449.

3. ☒ Other:

German Patent Application DE195 24 431: (VDO Adolf Schindling AG, German), filed on July 5, 1995 and published on January 9, 1997, relates to a fuel pump. It is

described that the fuel pump comprises an electric motor with an armature wherein for noise reduction the commutator (1) and the coil heads (2) provided at both ends are encapsulated by plastic material.

German Utility Model No. 1 966 275: Was published on August 17, 1967, and describes a stator for an electric motor having the coil heads of the windings embedded in a resin to obtain high mechanical strength against vibrations.

C. ☐ The following additional information is provided for the Examiner's consideration.

IV. CROSS REFERENCE TO RELATED APPLICATION(S)

A. ☐ The Examiner is advised that the following co-pending application(s) contain(s) subject matter that may be related to the present application. By bringing this(these) application(s) to the Examiner's attention, Applicant(s) does (do) not waive the confidentiality provisions of 35 U.S.C. § 122.

Serial No.

Filing Date

Art Unit

V. THIS IDS IS BEING FILED UNDER

A. ☒ **37 C.F.R. § 1.97(b)**: (check only one box)

1. ☐ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 C.F.R. § 1.97(b)(1)). No fee or certification is required.

2. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or certification is required.

3. ☒ before the mailing of a first Office Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below; or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).

4. ☐ before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No fee or certification is required.

B. ☐ **37 C.F.R. § 1.97(c):** (check only one box)

before the mailing date of either any Final Office Action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution.

1. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

2. ☐ See the certification below. No fee is required.

C. ☐ **37 C.F.R. § 1.97(d):**

after the mailing date of either a Final Office Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, yet on or before payment of the issue fee.

1. ☐ See the certification below. A fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

VI. **CERTIFICATION UNDER 37 C.F.R. § 1.97(e):** (check only one box)

The undersigned hereby certifies that:

A. ☐ each item of information contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(1)). See further statement under 37 C.F.R. 1.704(d) below in section VII, if applicable; or

B. ☐ no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(2)).

C. ☐ some of the items of information were first cited in a communication from a foreign patent office. As to this information, the undersigned hereby certifies that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after

making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS.

VII. STATEMENT UNDER 37 C.F.R. 1.704(d)

The undersigned hereby states that:

☐ each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this IDS.

VIII. PAYMENT OF FEES (check only one box)

A. ☐ A check in the amount of \$180.00 is enclosed for the above identified fee.

B. ☐ Please charge Deposit Account No. 02-2548 in the amount of \$180.00 for the above-indicated fee. A duplicate copy of this paper is attached.

The above references are being cited only in the interest of candor and without any admission that they constitute statutory prior art, contain matter which anticipates the invention, or which would render the same obvious, either singly or in combination, to a person of ordinary skill in the art. Furthermore, this Information Disclosure Statement shall not be construed as a representation that a search has been made.

If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 02-2548.

Please charge any additional fees or credit any overpayment pursuant to 37 C.F.R. § 1.16 or § 1.17 to Deposit Account No. 02-2548.

Respectfully submitted,

Dated: Oct. 27, 2004

By: Roland A. Fuller III  
Roland A. Fuller III  
Reg. No. 31,160

Harness, Dickey & Pierce, P.L.C.  
P.O. Box 828  
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FORM HDP-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE**  
**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Sheet 1 of 5

ATTORNEY DOCKET NO.

0275Y-000431/CPG

SERIAL NO.

10/616,573

APPLICANT

Hung T. Du et al.

FILING DATE

July 10, 2003

GROUP

2834

**U.S. PATENT DOCUMENTS**

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
1.		3,709,457	1/9/1973	Church		
2.		3,813,763	6/4/1974	Church		
3.		3,963,949	6/15/1976	Church		
4.		4,066,606	1/3/1978	Vargiu et al.		
5.		4,077,939	3/7/1978	Paparatto et al.		
6.		4,470,786	9/11/1984	Sano et al.		
7.		4,696,631	9/29/1987	Nitt		
8.		4,863,651	9/5/1989	Koten		
9.		4,950,438	8/21/1990	Nakamura et al.		
10.		4,964,210	10/23/1990	Takagi		
11.		5,059,370	10/22/1991	Kojima		
12.		5,137,940	8/11/1992	Tomiyoshi et al.		
13.		5,153,263	10/6/1992	Liu et al.		
14.		5,473,213	12/5/1995	Kahle, Sr.		
15.		5,538,067	7/23/1996	Nakamura et al.		
16.		5,639,403	6/17/1997	Ida et al.		
17.		5,714,828	2/3/1998	Ackermann et al.		
18.		5,814,412	9/29/1998	Terada et al.		
19.		5,887,643	3/30/1999	Nakamura et al.		
20.		5,937,930	8/17/1999	Nakamura et al.		
21.		5,955,813	9/21/1999	Bolte et al.		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>FORM HDP-1449 (Based on Form PTO-1449)</b>  <b>PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)  Sheet 2 of 5	ATTORNEY DOCKET NO.	SERIAL No.
	0275Y-000431/CPG	10/616,573
	APPLICANT	
	Hung T. Du et al.	
	FILING DATE	GROUP
	July 10, 2003	2834

U.S. PATENT DOCUMENTS						
Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
22.		5,973,424	10/26/1999	Engelberger et al.		
23.		6,177,741	1/23/2001	Lutkenhaus et al.		
24.		6,315,527	11/13/2001	Makino et al.		
25.		6,451,230	9/17/2002	Eckardt et al.		
26.		6,477,763	11/12/2002	Santander et al.		
27.		6,643,910	11/11/2003	Kanai et al.		
28.		6,645,416	11/11/2003	Bock et al.		
29.		6,661,137	12/9/2003	Gauthier et al.		
30.		6,673,463	1/6/2004	Onishi et al.		
31.		6,683,397	1/27/2004	Gauthier et al.		
32.		2001/045687	11/29/2001	Baumann et al.		
33.		2001/048261	12/6/2001	Kojima et al.		
34.		2002/047425	4/25/2002	Coupart et al.		
35.		2002/148099	10/17/2002	Eydelie et al.		
36.		2002/149281	10/17/2002	Saint-Michel et al.		
37.		2002/171305	11/21/2002	Coupart et al.		
38.		6,531,797	3/11/2003	Eydelie et al.		
39.		6,201,321	3/13/2001	Mosciatti et al.		
40.		3,047,756	7/31/1962	Coggeshall		
41.		6,462,453	10/8/2002	Asao et al.		

Examiner:	Date Considered:
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EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>FORM HDP-1449 (Based on Form PTO-1449)</b>  <b>PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)  Sheet 3 of 5	ATTORNEY DOCKET NO.	SERIAL NO.
	0275Y-000431/CPG	10/616,573
	APPLICANT	
	Hung T. Du et al.	
	FILING DATE	GROUP
	July 10, 2003	2834

U.S. PATENT DOCUMENTS						
Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
42.		6,449,830	9/17/2002	Amada et al.		
43.		6,448,683	9/10/2002	Wiesler et al.		
44.		6,411,188	6/25/2002	Pruess et al.		
45.		6,404,092	6/11/2002	Baumann et al.		
46.		6,396,189	5/28/2002	Matsushita et al.		
47.		6,334,972	1/1/2002	Kim		
48.		6,288,341	9/11/2001	Tsunoda et al.		
49.		6,278,206	8/21/2001	Yockey et al.		
50.		6,208,056	3/27/2001	Perkins		
51.		6,202,285	3/20/2001	Bell		
52.		6,191,508	2/20/2001	Aoki et al.		
53.		6,181,042	1/30/2001	Grant et al.		
54.		6,181,038	1/30/2001	Van Rooij		
55.		6,579,566	6/17/2003	Moser et al.		
56.		5,436,520	7/25/1995	Huber		
57.		2,756,354	7/24/1956	Baron		
58.		3,244,919	4/5/1966	Drenth et al.		
59.		4,663,835	5/12/1987	Caillier, Sr.		
60.		6,137,205	10/24/2000	Hung et al.		
61.		3,471,731	10/7/1969	Pratt et al.		

Examiner:	Date Considered:
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EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>FORM HDP-1449 (Based on Form PTO-1449)</b>  <b>PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)  Sheet 4 of 5	ATTORNEY DOCKET NO.	SERIAL NO.
	0275Y-000431/CPG	10/616,573
	APPLICANT	
	Hung T. Du et al.	
	FILING DATE	GROUP
	July 10, 2003	2834

U.S. PATENT DOCUMENTS						
Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
62.		4,105,906	8/8/1978	Ade et al.		
63.		4,882,510	11/21/1989	Newberg		
64.		5,019,737	5/28/1991	Bruno		
65.		6,166,462	12/26/2000	Finkenbinder et al.		
66.		6,184,600	2/6/2001	Asao et al.		
67.		6,239,519	5/29/2001	Kaelberer et al.		
68.		5,694,268	12/2/1997	Dunfield et al.		
69.		4,160,926	7/10/1979	Cope et al.		

FOREIGN PATENT DOCUMENTS							
Ref. Desig.	Examiner's Initials	Document Number	Date	Country	Class/ Subclass	Translation Yes	No
1.		DE 195 42 564	5/22/1997	Germany		Abstract	
2.		DE 195 43 919	4/24/1997	Germany		Abstract	
3.		DE 198 18 105	10/28/1999	Germany		Abstract	
4.		DE 198 34 085	11/25/1999	Germany		Abstract	
5.		DE 198 34 086	1/5/2000	Germany		Abstract	
6.		DE 199 23 886	1/5/2000	Germany		Abstract	
7.		DE 199 39 760	3/8/2001	Germany		Abstract	
8.		DE 32 09 864	9/29/1983	Germany		Abstract	
9.		DE 32 11 716	10/13/1983	Germany		Abstract	

Examiner:	Date Considered:
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<b>FORM HDP-1449 (Based on Form PTO-1449)</b>  <b>PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)  Sheet 5 of 5	ATTORNEY DOCKET NO.	SERIAL No.
	0275Y-000431/CPG	10/616,573
	APPLICANT	
	Hung T. Du et al.	
	FILING DATE	GROUP
	July 10, 2003	2834

FOREIGN PATENT DOCUMENTS							
Ref. Desig.	Examiner's Initials	Document Number	Date	Country	Class/ Subclass	Translation Yes	No
10.		DE 34 41 440	5/30/1985	Germany		Abstract	
11.		DE 37 07 682	9/22/1988	Germany		Abstract	
12.		DE 40 21 591	1/16/1992	Germany		Abstract	
13.		DE 41 32 982	4/8/1993	Germany		Abstract	
14.		DE 43 30 323	3/9/1995	Germany		Abstract	
15.		EP 0 489 363	6/10/1992	Europe		Abstract	
16.		EP 0 549 923	7/7/1993	Europe		Abstract	
17.		EP 0 762 602	3/12/1997	Europe		Abstract	
18.		EP 0 865 146	9/16/1998	Europe		N/A	
19.		EP 0 940 905	9/8/1999	Europe		Abstract	
20.		EP 0 942 512	9/15/1999	Europe		Abstract	
21.		GB 2 032 708	5/8/1980	UK		N/A	
22.		EP 0 001 222	4/4/1979	Europe		Abstract	
23.		DE 195 24 431	1/9/1997	Germany			
24.		DE 199 60 088	3/15/2001	Germany		Abstract	
25.		DE 1 966 275U	8/17/1967	Germany			
26.		EP 0 379 012	7/25/1990	Europe		Abstract	

Examiner:	Date Considered:
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